

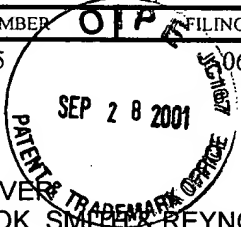
#3



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/895,865	06/29/2001	Gary J. Swanson	2847.1001-011



THOMAS O. HOOVER  
HAMILTON, BROOK, SMITH & REYNOLDS, P.C.  
Two Militia Drive  
Lexington, MA 02421-4799

CONFIRMATION NO. 5881

## FORMALITIES LETTER



\*OC000000006339450\*

Date Mailed: 07/25/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

10/02/2001 BABRAHAI 00000060 09895865

FILED UNDER 37 CFR 1.53(b)

01 FC:101  
02 FC:103  
03 FC:102  
04 FC:105

710.00 OP  
216.00 OP  
80.00 OP  
130.00 OP

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$296.
  - \$216 for 12 total claims over 20.
  - \$80 for 1 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1136.**

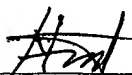
The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawings submitted to the Office are not electronically reproducible. Drawing sheets must be submitted on paper which is flexible, strong, white, smooth, non-shiny, and durable (see 37 CFR 1.84(e));
- Abstract must be on a separate sheet.

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*A copy of this notice MUST be returned with the reply.*



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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

*Handwritten:* Sector

Applicant: Gary J. Swanson  
Serial No.: 09/895,865 Group: 2872  
Filed: June 29, 2001  
For: SYSTEM AND METHOD FOR EFFICIENT ILLUMINATION  
IN COLOR PROJECTION DISPLAYS



CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231	
on <u>September 25, 2001</u> Date	<u><i>Carol M. Brown</i></u> Signature
_____ Carol M. Brown Typed or printed name of person signing certificate	

REPLY TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In reply to the Notice to File Missing Parts dated July 25, 2001, the following documents and fees are being submitted for filing in the captioned application. A copy of the Notice is attached. **The Reply is based on the claims as amended in the enclosed Preliminary Amendment.**

[X] **Copy of EXECUTED DECLARATION/POWER OF ATTORNEY from prior Application No. 08/443,180.**

*(Separate transmittal letter and postcard not required)*

[X] **FILING FEE** - with Fee Transmittal for Patent Applications in duplicate.

*(Separate transmittal letter and postcard not required)*

[X] **SURCHARGE** - surcharge fee of \$130.00.

*(Separate transmittal letter and postcard not required)*

[ ] **SEQUENCE LISTING** - Filed concurrently and is attached.

*(Separate transmittal letter and postcard required)*

☒ **TRANSMITTAL OF SUBSTITUTE DRAWINGS**

☒ 8 sheets of substitute drawings, consisting of Figs. 1, 1A, 2, 2A, 3, 4, 5, 6, 7, 8, 9 and 9A, are enclosed.

*(Separate transmittal letter and postcard not required)*

☐ **PETITION FOR EXTENSION OF TIME**

☐ Applicant hereby petitions to extend the time to respond to the Notice to File Missing Parts dated [ ] for [ ] month(s) from [ ] to [ ].  
The appropriate fee of \$[ ] is included in the enclosed check.

☐ A [ ] month extension of time to respond to the Notice to File Missing Parts dated [ ] was filed on [ ] with payment of a \$[ ] fee.

☐ Applicant hereby petitions for an additional [ ] month extension of time to respond to the Notice to File Missing Parts. The appropriate fee of \$[ ] is included in the enclosed check.

*(Separate Petition for Extension of Time and postcard not required)*

☐ **REQUEST FOR CORRECTED FILING RECEIPT** - Filed concurrently and is attached.

*(Separate transmittal letter and postcard required)*

☐ **STATEMENT CLAIMING SMALL ENTITY STATUS**

☐ Was filed on [ ].

☐ Is enclosed herewith.

*(Separate transmittal letter and postcard not required)*

☐ In view of the small entity status of the captioned application, we hereby request a reimbursement of 50% of the filing fees in the amount of \$[ ] which were paid on [ ] to be deposited in Deposit Account No. 08-0380.

☒ **OTHER** - copy of Revocation of Powers of Attorney and Appointment of New Attorneys from prior Application No. 08/443,180.

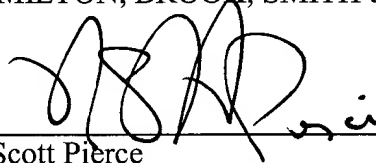
09/895,865<sup>4</sup>

-3-

The fees required for filing the indicated documents are enclosed in the form of a check in the total amount of \$1,136.00. Please charge any deficiency or credit any overpayment in the fees that may be due in this matter to Deposit Account No. 08-0380. A copy of this letter is enclosed for accounting purposes.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By   
N. Scott Pierce  
Registration No.: 34,900  
Tel.: (781) 861-6240  
Fax: (781) 861-9540

Lexington, Massachusetts 02421-4799

Date: 9/25/01

# HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

## FEE TRANSMITTAL FOR PATENT APPLICATIONS

Attorney Docket Number	2847.1001-011
Application Number	09/895,865
First Named Inventor	Gary J. Swanson



CLAIM CALCULATION (includes any preliminary amendment)

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c) or (j))	32 - 20* =	12	x \$ 18 =	\$ 216
	INDEPENDENT CLAIMS (37 CFR 1.16(b) or (i))	4 - 3** =	1	x \$ 80 =	\$ 80
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))			+ \$ 270 =	\$
				BASIC FEE (37 CFR 1.16(a) or (h))	\$ 710
				Total of above Calculations =	\$ 1006
				Reduction by 50% for filing by small entity (37 CFR 1.9, 1.27, 1.28) =	\$
				TOTAL =	\$ 1006
				Surcharge - Late Filing of Declaration or Filing Fees (37 C.F.R. 1.16(e)) =	\$ 130
				Petition for Extension of Time Fee (37 C.F.R. 1.17) =	\$
				Assignment Recordation Fee = (only when filed with application)	\$
				TOTAL =	\$ 1136

\* Reissue claims in excess of 20 and over original patent  
 \*\* Reissue independent claims over original patent

1. Small entity status:

- a. ☐ A small entity statement is enclosed.
- b. ☐ A small entity statement was filed in the prior non-provisional application and such status is still proper and desired.
- c. ☐ Is no longer claimed.

2. ☒ A general authorization is hereby granted to charge deposit account number 08-0380 for any fees required under 37 CFR 1.16 and 1.17 in order to maintain pendency of this application. A copy of this authorization is enclosed for accounting purposes.

3. ☒ A check is enclosed for \$1,136.00. ☐ Please charge \$[ ] to Deposit Account No. 08-0380.

4. ☐ Other: \_\_\_\_\_

Signature

*N. Scott Pierce*

Date

9/25/01

Submitted by  
Typed or Printed Name

N. SCOTT PIERCE

Reg. Number

34,900